



OMB Information Control Symbol

Overview

Presented By:

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Information Collection Authorities

- 44 USC 3501 (Paperwork Reduction Act)
- 5 CFR 1320 (OMB policy on information collection from the public)
- DOD 8910.1-M (DoD manual on information collection mngt)
- SECNAV M-5214.1 (DON manual on information collection mngt)



What is a “Control Symbol”?

- A control symbol is a number issued by an organization to catalogue an official collection of information for which it provides governance
- Information Collections:
 - Use time and material of the requestor and respondent
 - Need to be completed with minimal operational impact
 - Must be organized in a way that provides useful & usable information
 - Have status of ‘exempt’, ‘authorized’ and ‘unauthorized’
- Exempt are not required to display a control symbol and do not expire*
- Authorized are issued with up to a 3 year approval period and assigned a control symbol
- Unauthorized are not approved for collection, should not be responded to and are not issued control symbols

* Exempt collections are declared as such in their authorizing document. This determination must be made by the cognizant IMCO.



What's an “OMB Control Symbol”?

- OMB Control Symbols are issued by the Office of Management and Budget, Office of Information and Regulatory Affairs (OIRA)
- OIRA is responsible for controlling Federal requests for information from the public
 - Information requests include requirements to supply information and retain records
 - The “public” are all non-federal employees or federal employees when responding as a private citizen
- OMB Control Symbols originate from the Federal Reports Act of 1942, but were codified in the Paperwork Reduction Act of 1980



“Public” Cheat-Sheet



Non-Federal Employees (this includes Federal contractors & foreign nationals in the US)



Active Federal Civilians when responding as a private citizen



Retired Federal Civilians (non-prior military)



Dependents of Active & Retired Federal Civilians



Active Military when responding as a private citizen



Retired Military **



Dependents of Active & Retired (or deceased Active & Retired) Military **



ROTC Cadets when not providing information to instructors during classroom and other training activities

**** When not responding to a SECDEF approved survey based on present or future programs relating to military families**



Are There Other Control Symbols?

- GSA used to issue control symbols for inter-agency information requirements
- Most Federal Agencies issue control symbols to evaluate their own information requirements
- The DoD issues control symbols to evaluate DoD-wide information requirements
- The DoD requires its components to issue control symbols to evaluate their internal information requirements
- The DON requires major commands to issue control symbols to evaluate their internal information requirements



Information Requirement Checklist

- Is the correct information being gathered (too much or too little)?
- Have all required compliance reviewers signed off on the information requirement?
- Does the collection format have all the required disclosures (PAS, SORN, ADN, ICS, Etc.)?
- Are there required actions and or decisions to be made based on the collection?
- Can source information be forwarded or made available upon request instead?
- Is there an option for administrative improvements (eliminate action memos, etc.)?
- Could a delegation or organizational change eliminate the requirement?
- Is reporting exception to the norm an option (exceeding or not achieving)?
- Can the number of respondents and or recipients be lowered (statistical sampling, etc.)?
- Can the collection and preparation interval be lowered (annual instead of quarterly, etc.)?
- Are due dates equitable (is the due date already a huge reporting period)?
- Is the format of the collection the most effective (will it confuse the respondent, will the data be transformable)?
- Is it worth the cost?
- Was the correct information provided (did people respond as intended)?



Scenario 1

A command has a stated requirement to badge all employees, contractors and visitors. To meet this requirement they developed a sign in sheet that collects name, address and phone number and a badge authorization form that collects name, address, social security number, phone number, employer information, clearance information and evaluates health risks. All badge holders are required to recertify their information annually. This is expected to impact about 4,900,000 people per year.

- What are the concerns?
- Who all is affected by this requirement?
- What approvals are required before the command may start?



Scenario 2

A command wants to conduct a climate survey to gauge morale and gather responses about newly implemented policy. In the survey, they collect organization code, pay level, occupational code, gender, ethnicity, years of service, marital status, age, education level, degree focus, base name and a ten point scale of attitude towards 15 new policies as well as general comments. This survey is optional and is intended to be distributed to everyone once every 3 years. There are roughly 1,100 people in the command.

- What are the concerns?
- Who all is affected by this requirement?
- What approvals are required before the command may start?



Scenario 3

A command wants to issue a questionnaire to applicants to evaluate whether or not selection criteria is indicative of exceptional achievement. The questionnaire collects name, address, social security number, education level, degree focus, whether civilian or military applicant, a ten point scale of attitude towards 15 general questions as well as general comments. This questionnaire is optional and is only to be completed once per applicant. There are 500 applicants per year.

- What are the concerns?
- Who all is affected by this requirement?
- What approvals are required before the command may start?



Scenario 4

A command needs to conduct community meetings to address concerns about opening a secondary base entrance. To meet federal requirements to record the meeting attendance, the command develops a sign-in sheet that collections names and addresses of attendees. About 300 people are expected to attend the meeting.

- What are the concerns?
- Who all is affected by this requirement?
- What approvals are required before the command may start?



Scenario 5

A command is required to track cases of children born in military hospitals with birth defects. To adhere to this requirement, the command receives data from other military databases. The command provides an annual report on birth defects in the Navy. There are about 12,600 Navy and Marine Corps births annually.

- What are the concerns?
- Who all is affected by this requirement?
- What approvals are required before the command may start?



Scenario 6

A command wants to conduct community fun runs. In order to do this, they develop forms that collect name, address, personal email address, phone number and contain a liability waiver for signature. The fun runs are held four times a year, there is a separate form for each event and each individual is intended to complete one form per event. About 130 people are expected to sign up for each run.

- What are the concerns?
- Who all is affected by this requirement?
- What approvals are required before the command may start?



Scenario 7

A command has a program to allow certain visitors to board various ships as part of public relations activities. There is no form or memorandum format prescribed; although, it is known that all persons coming aboard ship must, at a minimum, declare medical history information. About 3000 people a year are expected to participate in the program each year.

- What are the concerns?
- Who all is affected by this requirement?
- What approvals are required before the command may start?



Contacts

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BACKUP SLIDES



Federal Legislative Branch

- Commodity Futures Trading Commission
- Consumer Product Safety Commission (CPSC)
- Corporation for National and Community Service
- Court Services and Officer Supervision Agency for the District of Columbia
- Defense Nuclear Facilities Safety Board
- Director of National Intelligence
- Environmental Protection Agency (EPA)
- Equal Employment Opportunity Commission (EEOC)
- Export-Import Bank of the United States
- Farm Credit Administration
- Farm Credit System Insurance Corporation
- Federal Communications Commission (FCC)
- Federal Deposit Insurance Corporation (FDIC)
- Federal Election Commission (FEC)
- Federal Energy Regulatory Commission
- Federal Reserve Bank of New York
- Federal Reserve Finance Agency
- Federal Labor Relations Authority
- Federal Maritime Commission
- Federal Mediation and Conciliation Service
- Federal Mine Safety and Health Review Commission
- Federal Reserve System
- Federal Retirement Thrift Investment Board
- Federal Trade Commission (FTC)
- General Services Administration (GSA)
- Institute of Museum and Library Services
- Inter-American Foundation
- Internet Systems Protection Board
- Millennium Challenge Corporation
- National Aeronautics and Space Administration (NASA)
- National Archives and Records Administration (NARA)
- National Capital Planning Commission
- National Council on Disability
- National Credit Union Administration (NCUA)
- National Endowment for the Arts
- National Endowment for the Humanities
- National Labor Relations Board (NLRB)
- National Mediation Board
- National Railroad Passenger Corporation (AMTRAK)
- National Science Foundation (NSF)
- National Transportation Safety Board
- Nuclear Regulatory Commission (NRC)
- Occupational Safety and Health Review Commission
- Office of Compliance
- Office of Government Ethics
- Office of Personnel Management
- Office of Special Counsel
- Office of the Director of National Intelligence
- Office of the National Counterintelligence Executive
- Overseas Private Investment Corporation
- Panama Canal Commission
- Peace Corps
- Pension Benefit Guaranty Corporation
- Postal Regulatory Commission
- Railroad Retirement Board
- Securities and Exchange Commission (SEC)
- Selective Service System
- Small Business Administration (SBA)
- Social Security Administration (SSA)
- Tennessee Valley Authority
- U.S. Trade and Development Agency
- United States Agency for International Development
- United States International Trade Commission
- United States Postal Service (USPS)
- Quasi-Official Organizations
 - Legal Services Corporation
 - Smithsonian Institution
 - State Justice Institute
 - United States Institute of Peace

- o Architect of the Capitol
- o Capitol Police
- o Congressional Budget Office (CBO)
- o Congressional Research Service
- o Copyright Office
- o Government Accountability Office (GAO)
- o Government Printing Office (GPO)
- o Library of Congress
- o Medicaid and CHIP Payment and Access Commission
- o Medicare Payment Advisory Commission
- o Open World Leadership Center
- o Stennis Center for Public Service
- o U.S. Botanic Garden

Federal Judicial Branch

- o The Supreme Court
- o Lower Courts
 - Judicial Panel on Multidistrict Litigation
 - U.S. Bankruptcy Courts
 - U.S. Court of Appeals for the Federal Circuit
 - U.S. Court of International Trade
 - U.S. Courts of Appeals
 - U.S. District Courts
 - U.S. Federal Courts, by Geographic Location and Circuit
- o Special Courts
 - U.S. Court of Appeals for the Armed Forces
 - U.S. Court of Appeals for Veterans Claims
 - U.S. Court of Federal Claims
 - U.S. Tax Court
- o Court Support Organizations
 - Administrative Office of the United States Courts
 - Federal Judicial Center

DoD Exempted

DoD Internal

DoD External



“DoD” Cheat-Sheet

Secretary of Defense & Office of the Secretary of Defense	Military Departments	Joint Chiefs of Staff & Combatant Commands
<ul style="list-style-type: none"> ○ Office of the Inspector General of the Department of Defense ○ DoD Field Activities <ul style="list-style-type: none"> • Defense Media Activity • Defense POW/Missing Personnel Office • Defense Technical Information Center • Defense Technology Security Administration • DoD Education Activity • DoD Human Resources Activity • DoD Test Resource Management Center • Office of Economic Adjustment • TRICARE Management Activity • Washington Headquarters Services ○ Defense Agencies <ul style="list-style-type: none"> • Defense Advanced Research Projects Agency • Defense Commissary Agency • Defense Contract Audit Agency • Defense Contract Management Agency * • Defense Finance and Accounting Service • Defense Information Systems Agency * • Defense Intelligence Agency * • Defense Legal Services Agency • Defense Logistics Agency * • Defense Security Cooperation Agency • Defense Security Service • Defense Threat Reduction Agency * Missile Defense Agency • National Geospatial-Intelligence Agency * • National Reconnaissance Office * • National Security Agency/Central Security Service * • Pentagon Force Protection Agency 	<ul style="list-style-type: none"> ○ Department of the Army ○ Department of the Navy <ul style="list-style-type: none"> • U.S. Navy • U.S. Marine Corps ○ Department of the Air Force 	<ul style="list-style-type: none"> ○ The Joint Staff ○ Africa Command ○ Central Command ○ European Command ○ Northern Command ○ Pacific Command ○ Southern Command ○ Special Operations Command ○ Strategic Command ○ Transportation Command

 **DON Internal**

 **DON External**

* Identified as a Combat Support Agency (CSA)



Commandant of the Marine Corps

- **Officer in Charge, Marine Corps Recruiting Station, Minneapolis, MN**
- **Officer in Charge, Marine Corps Recruiting Station, St. Louis, MO**
- **Officer in Charge, Marine Corps Reserve Training Center, 3034-00 West Foster Ave., Chicago, IL**
- **Officer in Charge, Marine Corps Reserve Training Center, Indianapolis, IN**
- **Officer in Charge, Marine Corps Reserve Training Center, Moline, IL**
- **Commanding Officer, Marine Corps Reserve Center, Detroit, MI**
- **Commanding Officer, Marine Corps Reserve Center, Kansas City, KS**
- **DIRECTOR, 8TH MARINE CORPS DISTRICT, FORT WORTH, TX**
 - **Officer in Charge, Marine Corps Recruiting Station, Albuquerque, NM**
 - **Officer in Charge, Marine Corps Recruiting Station, Dallas, TX**
 - **Officer in Charge, Marine Corps Recruiting Station, Denver, CO**
 - **Officer in Charge, Marine Corps Recruiting Station, Fort Worth, TX**
 - **Officer in Charge, Marine Corps Reserve Training Center, Corpus Christi, TX**
 - **Officer in Charge, Marine Corps Reserve Training Center, Galveston, TX**
 - **Officer in Charge, Marine Corps Recruiting Station, Houston, TX**
 - **Officer in Charge, Marine Corps Recruiting Station, Phoenix, AZ**
 - **Officer in Charge, Marine Corps Recruiting Station, Oklahoma, City OK**
 - **Officer in Charge, Marine Corps Recruiting Station, San Antonio, TX**
 - **Officer in Charge, Marine Corps Reserve Training Center, Baton Rouge, LA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Tazewell, TX**
- **DIRECTOR, 4TH MARINE CORPS DISTRICT, NEW OBERLAND, PA**
 - **Officer in Charge, Marine Corps Recruiting Station, Baltimore, MD**
 - **Officer in Charge, Marine Corps Recruiting Station, Cleveland, OH**
 - **Officer in Charge, Marine Corps Recruiting Station, Raleigh, NC**
 - **Officer in Charge, Marine Corps Recruiting Station, Louisville, KY**
 - **Officer in Charge, Marine Corps Recruiting Station, Detroit, MI**
 - **Officer in Charge, Marine Corps Recruiting Station, Frederick, MD**
 - **Officer in Charge, Marine Corps Recruiting Station, Richmond, VA**
 - **Officer in Charge, Marine Corps Recruiting Station, South Charleston, WV**
 - **Officer in Charge, Marine Corps Reserve Training Center, Baltimore, MD**
 - **Officer in Charge, Marine Corps Reserve Training Center, Erie, PA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Allentown, PA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Lynchburg, VA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Philadelphia, PA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Richmond, VA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Roanoke, VA**
 - **Officer in Charge, Marine Corps Reserve Training Center, South Charleston, WV**
 - **Officer in Charge, Marine Corps Reserve Training Center, Wyoming, PA**
- **DIRECTOR, 12TH MARINE CORPS DISTRICT, SAN DIEGO, CA**
 - **Officer in Charge, Marine Corps Recruiting Station, Los Angeles, CA**
 - **Officer in Charge, Marine Corps Recruiting Station, Portland, OR**
 - **Officer in Charge, Marine Corps Recruiting Station, San Francisco, CA**
 - **Officer in Charge, Marine Corps Recruiting Station, Sacramento, CA**
 - **Officer in Charge, Marine Corps Recruiting Station, Seattle, WA**
 - **Officer in Charge, Marine Corps Recruiting Station, San Jose, CA**
 - **Officer in Charge, Marine Corps Recruiting Station, Salt Lake City, UT**
 - **Officer in Charge, Marine Corps Reserve Training Center, San Diego, CA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Keneshaw Bay, HI**
 - **Officer in Charge, Marine Corps Reserve Training Center, Pico Rivera, CA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Pasadena, CA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Port Hueneme, CA**
 - **Officer in Charge, Marine Corps Reserve Training Center, San Bruno, CA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Seal Beach, CA**
 - **Officer in Charge, Marine Corps Reserve Training Center, Yuba City, TX**
- **DIRECTOR, MARINE CORPS SUPPORT ACTIVITY, KANSAS CITY, MO**
- **DIRECTOR, MARINE CORPS RESERVE SUPPORT CENTER, OVERLAND PARK, KS**
- **STATE, QUANTICO VA**
- **COMMANDING OFFICER, MARINE SUPPORT BATTALION, WASHINGTON, DC**